



J1047 U.S. PTO

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

98-039B

First Inventor

Carlson

Title

Ligands for Modulating the  
Expression of Exogenous Genes

Express Mail Label No.

J1047 U.S. PTO  
09/832500

04/12/01

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 41]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ]
5. Oath or Declaration [Total Pages 4]
- a. ☐ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- b. ☒ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 09, 315, 451

Prior application information.

Examiner R. Schwartzman

Group Art Unit. 1636

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or



Correspondence address below

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Thomas D. Rogerson

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Thomas D. Rogerson

Registration No. (Attorney/Agent)

38,602

Signature

Thomas D. Rogerson

Date

4/6/01

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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**FEE TRANSMITTAL**  
**for FY 2000***Patent fees are subject to annual revision*  
*Small Entity payments must be supported by a small entity statement,*  
*otherwise large entity fees must be paid See Forms PTO/SB/09-12.*  
*See 37 C.F.R. §§ 1.27 and 1.28***Complete if Known****TOTAL AMOUNT OF PAYMENT**(\$) **870**

Application Number

Filing Date

First Named Inventor

Examiner Name

Group / Art Unit

Attorney Docket No

Herewith

Glenn Richard Carlson et al.

Not yet assigned

Not yet assigned

98-039B

**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit

Account

Number

18-1850

Deposit

Account

Name

Rohm and Haas Company

- ☐
- Charge Any Additional Fee Required
- 
- Under 37 CFR §§ 1.16 and 1.17

- 2.
- ☐
- Payment Enclosed:

- ☐
- Check
- ☐
- Money
- ☐
- Other
- 
- Order

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)** (\$) **710****2. EXTRA CLAIM FEES**

				Fee from				Fee Paid
Total claims	19	-20** =	0	X	18	=	0	
Independent Claims	5	-3** =	2	X	80	=	160	
Multiple Dependent			270	=	0			

\*\*or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$) **160****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
Other fee (specify) _____					
Other fee (specify) _____					

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) **0****SUBMITTED BY**

Name (Print/Type)	Thomas D. Rogerson	Registration No (Attorney/Agent)	38,602	Telephone	215-592-2423
Signature	Thomas D. Rogerson			Date	4/6/01

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No. 98-039B  
TDR/bk

jc984 U.S. PTO  
09/832500  
04/12/01

In re application of:  
Glenn Richard Carlson et al.

Serial No.: Not yet assigned : Group Art Unit: Not yet assigned

Filed: Herewith : Examiner: Not yet assigned

For: **LIGANDS FOR MODULATING THE EXPRESSION OF EXOGENOUS  
GENES VIA AN ECDYSONE RECEPTOR COMPLEX**

Box: Patent Application  
Assistant Commissioner for Patents  
Washington, DC 20231

CERTIFICATE OF MAILING

Sir:

I hereby certify that the following correspondence is being deposited with the U.S. Postal Service as Express mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on the date indicated next to my signature below:

Utility Patent Application Transmittal Letter  
Fee Sheet (in duplicate)  
Copy of Declaration/Power of Attorney from Case (98-039A)  
Copy of Patent Application (98-039A)  
Preliminary Amendment  
Return Receipt Postcard

April 11, 2001  
Date

Becky Knauth  
Signature

U.S. Postal Service Express Mail Label No. EK905905878US